



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Dong-Jun Kim, *et al.*  
Serial No.: 10/039,126  
Filing Date: January 3, 2002  
Title: SEMICONDUCTOR DEVICE HAVING A FLASH MEMORY CELL AND  
FABRICATION METHOD THEREOF

Examiner: Nhu, D.  
Group Art Unit: 2818

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Post Office as First Class Mail on the date indicated below in an envelope addressed to Mail Stop Non-Fee Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

3-30-02

Date

Vanessa Marakas

Mail Stop Non-Fee Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 C.F.R. 1.129(a), or  
(First/Second submission after Final Rejection)
- ☐ under 37 C.F.R. 1.97(b), or  
(Within three months of filing national application other than a CPA under §1.53(d); or within three months of date of entry of the national stage in international application; or before mailing date of first Office Action on the merits; or before mailing date of first Office Action after filing RCE under §1.114, whichever occurs last)
- ☒ under 37 C.F.R. 1.97(c) together with either:
- ☒ a Statement under 37 C.F.R. 1.97(e), as checked below, or
- ☐ the \$180.00 fee under 37 C.F.R. 1.17(p), or  
(After the 37 C.F.R. 1.97(b) time period, but before final action or notice of allowance, or other action which closes prosecution, whichever occurs first)
- ☐ under 37 C.F.R. 1.97(d) together with:
- ☐ a Statement under 37 C.F.R. 1.97(e), as checked below, and
- ☐ the \$180.00 petition fee set forth in 37 C.F.R. 1.17(p).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Applicant(s): Dong-Jun Kim, *et al.*

Serial No.: 10/039,126

Statement Under 37 C.F.R. 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office In a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☒ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign application or, to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Enclosed herewith is form PTO-1449:

- ☒ Copies of cited references are on record in related divisional application 10 /616,391.
- ☐ Copies of cited references are enclosed except those entered in prior application, U.S. Serial No. \_\_\_\_\_, and references that are not required to be submitted under 37 C.F.R. 1.98.
- ☐ The listed references were cited in a counterpart foreign application.

Concise Explanation Requirement (non-English references):

- ☐ The "concise explanation" requirement under 36 C.F.R. 1.98(a)(3)(i) for reference \_\_\_\_ is satisfied by:
- ☐ the explanation provided on the attached sheet.
- ☐ the explanation provided in the Specification.
- ☐ abstract.

It is requested the information disclosed herein be made of record in this application.

Applicant(s): Dong-Jun Kim, *et al.*

Serial No.: 10/039,126

Method of payment:

☐ Enclosed is a check in the amount of \_\_\_\_\_.

☐ Please charge Deposit Account of 50-1798 in the amount of \_\_\_\_\_.

☐ Two duplicate copies of this Statement are enclosed.

☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account No. 50-1798.

Respectfully submitted,

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J:\SAM\0203\SupplDSform.wpd

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Anthony P. Onello, Jr.  
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Attorney for Applicants



Subst. Form PTO-1449				Docket Number (Optional) <b>SAM-0203</b>		Application Number <b>10/039,126</b>		
INFORMATION DISCLOSURE CITATION IN AN APPLICATION  (Use several sheets if necessary)				Applicant <b>Dong-Jun Kim, et al.</b>				
				Filing Date <b>01/03/02</b>		Group Art Unit <b>2818</b>		
U. S. Patent Documents								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	AA							
	AB							
	AC							
	AD							
	AE							
	AF							
	AG							
	AH	5,120,672	06/9/92	Mitchell, et al.	438	261	08/29/89	
	AI	4,851,365	07/25/89	Jeuch	438	257	07/08/88	
	AJ	5,073,513	12/17/91	Lee	438	267	03/20/91	
	AK	4,852,062	07/25/89	Baker, et al.	365	185.15	09/28/87	
FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
	AL							
	AM							
	AN							
	AO							
	AP							
	AQ							
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)								
	AR							
	AS							
	AT							
EXAMINER					DATE CONSIDERED			
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy with next communication to applicant.								



Subst. Form PTO-1449

Docket Number (Optional)

SAM-0203

Application Number

10/039,126

INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

Applicant

Dong-Jun Kim, *et al.*

Filing Date

01/03/02

Group Art Unit

2818

(Use several sheets if necessary)

## U. S. Patent Documents

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	BA	6,291,297	09/18/01	Chen	438	265	10/26/99
	BB	6,583,009	06/24/03	Hui, <i>et al.</i>	438	264	06/24/02
	BC	5,498,558	03/12/96	Kapoor	437	43	05/06/94
	BD						
	BE						
	BF						
	BG						
	BH						
	BI						
	BJ						
	BK						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
	BL							
	BM							
	BN							
	BO							
	BP							
	BQ							

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	BR	
	BS	
	BT	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy with next communication to applicant.